

PERS 10-2878

Approved For Release 2005/12/14 : CIA-RDP92-00421R000400040021-3

## ROUTINE AND TRANSMITTAL SLIP

Date

5/19/80

TO: (Name, office symbol, room number,  
building, Agency/Post)

Initials

Date

1. DD/OPPPM/P&amp;E - 1006 Ames

ES

5/21

2. EA/OPPPM - 5E58 HQS

LC

1006

3. DD/OPPPM - 5E58 HQS

C

5/21/80 ny  
copy made

4. D/OPPPM - 5E58 HQS

A

1006

5. C/PMES - 1006 Ames

Action	File	Note and Return
Approval	For Clearance	Per Conversation
As Requested	For Correction	Prepare Reply
Circulate	For Your Information	See Me
Comment	Investigate	Signature
Coordination	Justify	

## REMARKS

Attached is the final draft of our Performance Appraisal Attitudes Survey, which we plan to send to a sampling of approximately 10% of employees. It will be distributed to each grade group after they have received their first PAR, and while, hopefully, it's still fresh in their minds. With your concurrence, we'll send it to the printers and then begin with the first group, GS-7's and 8's.

This has been coordinated with PSS and with Management School of OTR.

DO NOT use this form as a RECORD of approvals, concurrences, disposals, clearances, and similar actions

	symbol, Agency/Post)	Room No.—Bldg. 1006 Ames
	C/PMES/OPPPM	Phone No. [ ]

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PERFORMANCE APPRAISAL ATTITUDES SURVEY

This survey is designed to assist the organization in evaluating the Performance Appraisal System which was initiated in October 1979. There are questions for both supervisory and nonsupervisory employees. All answers to this questionnaire will be held in the strictest confidence and no attempt will be made to identify individual respondents. The answer sheets will be machine processed and only group data will be analyzed.

Instructions:

Please record your answer on the accompanying answer sheet and follow these instructions:

- use a black No. 2 lead pencil; do not use pen
- make heavy black marks that fill the space completely
- erase cleanly any answer you may wish to change
- make no stray marks of any kind
- make sure that the item you are answering corresponds to the item you are filling out on the answer sheet.

PLEASE NOTE: In the event you elect to offer comments in the space provided on the last page of this booklet, be sure and return both the booklet and answer sheet. Please do not write your name on either the booklet or the answer sheet which should be returned in the enclosed envelope.

F = 100% (12)  
4. 1-10 = 100% (15)  
6. 1-10 = 100% of performance (15)  
1 - 10 = 100% (15)  
2 - 10 = 100% of performance (15)  
3 - 10 = 100% of performance (15)  
5 - 10 = 100% of performance (15)

PART I - TO BE COMPLETED BY ALL PARTICIPANTS IN THE SURVEY

- F 1. How long have you worked for the Organization?
- A. less than 2 years
  - B. 2 to 4 years
  - C. 5 to 10 years
  - D. 11 to 20 years
  - E. More than 20 years
- F 2. How long have you been in your present job?
- A. Less than one year
  - B. 1-2 years
  - C. 2-3 years
  - D. 3-5 years
  - E. More than five years
- F 3. What is your current GS pay grade?
- A. 1 to 8
  - B. 9 to 12
  - C. 13 to 15
  - D. Member SIS
  - E. Belong to Another Pay Category
- F 4. What is your highest level of education?
- A. Less than High School graduate
  - B. High School graduate
  - C. Attended technical, vocational, or business school
  - D. Bachelors Degree
  - E. Advanced Degree
- F 5. What is your Directorate Career Service designation?
- A. M
  - B. I
  - C. R
  - D. D
  - E. E
- F 6. What is your sex?
- A. Male
  - B. Female
- F 7. What is your age?
- A. 25 or below
  - B. 26 to 34
  - C. 35 to 44
  - D. 45 or over

8. Have you had the opportunity to read the Performance Appraisal Handbook?

- A - Yes
- B - No

9. Did you make use of the section #4 in the PAR which provides you with the option to comment?

- A - Yes
- B - No

10. If you answered "no" to question No. 9, which of the following best represents your reason for not using this section?

- A. Had nothing in particular I wanted to say
- B. Was concerned that if I said something, it might be misunderstood
- C. Wasn't sure what I was supposed to comment about
- D. Was concerned that the critical remarks I wanted to make would create problems for me
- E. Assumed that if I got a good report and agreed with everything in it I wasn't expected to offer comments

Please read and respond to each item carefully. Questions should be answered by using the following scale:

- A = to a great extent
- B = to a moderate extent
- C = to a slight extent
- D = not at all
- E = don't know

11. To what extent do you believe the new Performance Appraisal System is an improvement over the former "Fitness Report"?

12. To what extent do you like the Advance Work Plan (AWP) which establishes goals and priorities that both you and your supervisor decide together?

13. To what extent did you participate in preparing the Advance Work Plan?

14. To what extent do you believe the Advance Work Plan (AWP) will help to improve the accuracy of your performance appraisal ratings?

15. To what extent do you believe the evaluation of your potential to be fair and accurate?

16. To what extent was the section on the evaluation of potential useful as feedback information?

17. To what extent do you feel the new performance appraisal system yields an accurate assessment of your performance?

- C 18. To what extent are you satisfied with the new performance appraisal system?
- C 19. To what extent would you prefer a different performance appraisal system than that which is now in use?
- Fc 20. To what extent are you satisfied with the amount of information that your supervisor gives you about how well you are performing your job?
- Fd 21. To what extent do you receive informal performance feedback at least two or more times a year rather than on an annual basis?
- Fd 22. To what extent do you have a clear idea of what is expected of you on your job?
- O 23. To what extent do you believe that the person who determines your performance ratings should be held accountable for his/her ratings?
- ✓ 24. To what extent do you believe that your performance rating is based on total job performance and not only a few aspects of your job?
- O 25. To what extent do you believe that a worker who is dissatisfied with his/her performance rating should be permitted to appeal the rating?
- O 26. To what extent do you believe your performance appraisal should determine your competitive evaluation standing?
- O 27. To what extent do you believe that competitive evaluation panels should use information other than your work performance record to judge your ability to assume higher level responsibilities?
- ✓ 28. To what extent <sup>are performance ratings accurate?</sup> ~~is there a tendency to distort performance ratings?~~
- ✓ 29. To what extent do you believe that supervisors give their subordinates higher ratings than are deserved?
- ✓ 30. To what extent do you believe that supervisors give their subordinates lower ratings than are deserved?
- ✓ 31. To what extent do you believe that an improvement in your performance on the job would lead to a higher performance rating?
- Fd 32. To what extent are your performance ratings consistent with what your supervisor leads you to believe he/she thinks of your performance on a day-to-day basis?
- Fd 33. To what extent does your supervisor indicate how well you are doing on day-to-day basis?
- O 34. To what extent do you feel that training on performance appraisal would improve the overall effectiveness of the appraisal process?

Consider your immediate supervisor's behavior and decide how frequently he/she engages in the behavior described by the items below. Blacken in one of the five letters according to the following format:

A = Never  
B = Seldom  
C = Occasionally  
D = Often  
E = Always

35. Lets subordinates know what is expected of them
36. Is friendly and approachable
37. Makes his/her attitudes clear to you
38. Treats all subordinates fairly
39. Is willing to make changes
40. Maintains definite standards of performance
41. Refuses to explain his/her actions as they relate to you

PART II - TO BE ANSWERED BY PERFORMANCE APPRAISAL RATERS ONLY

42. Experience in preparing performance appraisals *for* on Organization employees:
- 1 A. Less than 2 years
  - 2 B. 2 to 4 years
  - 3 C. 5 to 10 years
  - 4 D. 11 to 20 years
  - 5 E. more than 20 years
43. Number of employees whose performance you currently appraise:
- A. 1-3
  - B. 4-6
  - C. 7-15
  - D. 16-25
  - E. 26 or more
44. Did you use the Worksheet (Form 45W) to prepare your performance appraisal?
- A. Yes
  - B. No

- e 45. What percentage of your immediate subordinates would you rate at the highest one or two levels of performance?
- A. 20% or less
  - B. 21-40%
  - C. 41-60%
  - D. 61-80%
  - E. 81-100%
- e 46. What percentage of your immediate subordinates would you rate at the lowest one or two levels of performance?
- A. 20% or less
  - B. 21-40%
  - C. 41-60%
  - D. 61-80%
  - E. 81-100%
- e 47. To what extent did you as a rater have difficulty in completing the "Evaluation of Potential" of the person you rated?
- A = to a great extent
  - B = to a moderate extent
  - C = to a slight extent
  - D = not at all
  - E = don't know
- o 48. To what extent does your supervisor consider your appraisal of your subordinates to be a critical element of your job?
- A = to a great extent
  - B = to a moderate extent
  - C = to a slight extent
  - D = not at all
  - E = don't know
- ✓ 49. To what extent do you believe that the typical supervisor would give lenient ratings in order to avoid confrontations with his/her subordinates?
- A = to a great extent
  - B = to a moderate extent
  - C = to a slight extent
  - D = not at all
  - E = don't know
- e 50. To what extent do you feel that you have sufficient time in your work schedule to properly evaluate the performance of your subordinates?
- A = to a great extent
  - B = to a moderate extent
  - C = to a slight extent
  - D = not at all
  - E = don't know

PART III - FOR ALL SURVEY PARTICIPANTS

Any comments? Please write any thoughts or feelings you have about the new performance appraisal system in the space below.



10 January 1980

PERFORMANCE APPRAISAL REPORT

EVALUATION PLAN

1. Statement of Objective:

To evaluate the implementation of the Agency's new Performance Appraisal Report (PAR) and submit a report to the DDCI by June 1981.

2. Major Elements to be Evaluated:

The PAR contains three new and untested elements. These elements are:

A. Employee Comments Section - The employee has the option to provide a self appraisal of performance and to comment on the supervisor's evaluation and reviewer's comments.

B. Advance Work Plan (AWP) Section - The AWP is prepared at the beginning of a rating period to cover the work objectives, goals, and priorities which will serve as a reference for the supervisor in rating the employee.

C. Evaluation of Potential Section - This section requires the supervisor to make an estimate of the employee's potential to assume added responsibility.

In addition to these new elements the rating scale of the PAR now reflects a seven point numerical rating scale in lieu of an adjectival scale used previously.

3. Evaluation Methodology:

Data will be collected through sampling completed PAR forms; sampling employees at each grade level; and querying career service panels who are primary users of the PAR.

A. Phase I

Computer generated PAR production commenced in December 1979. It serves the annual report cycle for each employee grade group. The first grade groups to be served (GS-07 & 08) are to have completed and returned their PARs by the end of February 1980.

The Transaction Records Branch (TRB), Control Division will assist in the evaluation process by noting the number and kinds of errors made in making entries on the PAR itself. TRB will review PARs as they are received, and collect data for approximately a six month period. TRB will also randomly select an appropriate-sized sample of PARs submitted at each grade level, and these will be reviewed by the PME Staff to ascertain how the new PAR elements are being used. The following issues will be addressed:

1. What is the variance in the ratings of the PAR numerical rating scale as used?
2. To what extent is the Employee Comments Section being used? What is the nature of these comments?
3. How are supervisors responding to the requirement for evaluating a subordinate's potential?

Concurrent with the analysis of the data on the PAR form, each GS level grade group will be randomly sampled and surveyed to determine employees' perceptions of the new PAR elements. Some comparison will be made between employee views of the new PAR and its predecessor, the Fitness Report. During the course of Phase I a report will be obtained from component personnel officers relating to the cost of preparing the PAR, e.g., how is the pin-fed design of the form working? Is it saving time and money? Is there considerable wastage of forms because of typing errors in preparing the finished product?

#### B. Phase II

In 1981 after a full year's utilization of the new system two additional activities will be initiated to complete the evaluation process. A sampling of the Advance Work Plan will be taken from PARs submitted during the second year and these AWP's will be reviewed to determine whether they meet requirements and that the guidance offered in their preparation is adequate. Additionally, it will be determined how well the contents of the AWP are treated by supervisors in their comments in the narrative section of the PAR.

The Agency's competitive evaluation panels will be surveyed to establish if there are modifications which need to be made to the PAR forms, and how effectively it seems to be working as a tool for their use.

Following the compilation and analysis of all data collected - a report will be prepared for the DDCI identifying the pros and cons of the new PAR as a part of the Agency's employee performance appraisal system.

